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13. ABSTRACT (Maximum 200 Words) This Instruction reissues DoD Instruction 1100.13, dated November 9, 1978, to implement policy and update responsibilities and procedures under DoD Directive 8910.1 and DoD 8910.1-M; provides guidance in the administration and use of personnel surveys to foster the development of effective survey systems, reduce the burden on the DoD Components, and minimize exposure of DoD personnel, members of the Military Services and their families, and members of the public to unwarranted survey solicitations; assigns responsibilities for coordination of DoD survey efforts; establishes policies for evaluating survey requests; and establishes procedures for obtaining approval to survey DoD personnel.			
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Department of Defense INSTRUCTION

November 21, 1996
NUMBER 1100.13

USD(P&R)

SUBJECT: Surveys of DoD Personnel

References:

- (a) DoD Instruction 1100.13, subject as above, November 9, 1978 (hereby canceled)
- (b) DoD Directive 8910.1, "Management and Control of Information Requirements," June 11, 1993
- (c) DoD 8910.1-M, "DoD Procedures and Policies for Management of Information Requirements," November 1986, authorized by DoD Directive 8910.1, June 11, 1993
- (d) DoD 5400.11-R, "DoD Privacy Program," August 31, 1983, authorized by DoD Directive 5400.11, June 9, 1982
- (e) DoD 5400.7-R, "DoD Freedom of Information Act Program," October 1990, authorized by DoD Directive 5400.7, May 13, 1988
- (f) Title 5, United States Code, Section 552, "Freedom of Information Act"
- (g) Title 5, United States Code, Section 552a, as amended, "The Privacy Act of 1974"

A. REISSUANCE AND PURPOSE

This Instruction:

1. Reissues reference (a) to implement policy and update responsibilities and procedures under references (b) and (c).
2. Provides guidance in the administration and use of personnel surveys to:
 - a. Foster the development of effective survey systems.
 - b. Reduce the burden on the DoD Components.
 - c. Minimize exposure of DoD personnel, members of the Military Services and their families, and members of the public to unwarranted survey solicitations.
3. Assigns responsibilities for coordination of DoD survey efforts.
4. Establishes policies for evaluating survey requests.
5. Establishes procedures for obtaining approval to survey DoD personnel.

B. APPLICABILITY AND SCOPE

This Instruction:

1. Applies to the Office of the Secretary of Defense (OSD), the Military Departments, the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Inspector General of the Department of Defense, the Defense Agencies, and the DoD Field Activities (hereafter referred to collectively as "the DoD Components"). The term "Military Services," as used herein, refers to the Army, the Navy, the Air Force, and the Marine Corps.
2. Does not apply to the Office of the Inspector General, DoD, in fulfilling its audit and evaluation responsibilities.
3. Applies to all new and existing personnel survey requirements.
4. Governs all surveys of DoD personnel, members of the Military Services and their families, as well as surveys conducted by the DoD Components of personnel in other Federal Agencies and members of the public, when the results are to be used for general statistical purposes.
5. Does not prevent a DoD Component from conducting a survey of its own personnel when executed entirely within the Component.
6. Surveys requiring participation of OSD personnel of any office other than the sponsoring OSD office shall be treated under this instruction as if they were surveys requiring participation of personnel in any DoD Component other than the sponsoring DoD Component.

C. DEFINITIONS

Terms used in this Instruction are defined in enclosure 1.

D. POLICY

1. Survey Development. It is DoD policy under DoD Directive 8910.1 (reference (b)) that information requirements be formally approved and licensed. The development of any survey shall not be undertaken until it has been determined that such survey is consistent with the policies, principles, and criteria of reference (b).
2. Use of Survey Techniques. A survey shall be initiated by DoD Components only after it has been determined that:
 - a. The available information, including results of past surveys of the same or similar individuals, is not adequate to fill the need.

- b. Current approved or exempted surveys cannot provide the required information.
- c. The need for the information warrants the cost of administration and analysis of the survey.
- d. A survey is the best means to produce the most valid information with the least burden to individual personnel or participating organizations.
- e. Adequate safeguards are in place to ensure the privacy rights of individuals by the use of an appropriate Privacy Act Statement and consent of the individual before any personal information (written or oral) is solicited or collected; and personal information obtained is protected from unauthorized disclosure if the survey is not used solely as a statistical research or reporting record or the survey is transferred or used in a form that is, or can be, individually identifiable.

3. Release of Survey Data. Data obtained by a survey shall be accessible to the public if they are in a statistical form that is not individually identifiable, unless release would be harmful to a governmental or privacy interest if disclosed, or if the information is exempted from disclosure by the Freedom of Information (reference (f)) or Privacy Acts (reference (g)), as implemented by DoD 5400.7-R (reference (e)), and DoD 5400.11-R (reference (d)).

E. RESPONSIBILITIES

1. The Under Secretary of Defense for Personnel and Readiness shall:
 - a. Approve, before submission to the Director, Washington Headquarters Services/Directorate for Information Operations and Reports (WHS/DIOR), all survey requests that require participation of personnel in more than one DoD Component, or Components other than the one(s) sponsoring.
 - b. Ensure that the Director, Defense Manpower Data Center (DMDC), shall carry out the following functions:
 - (1) Review and recommend to USD (P&R) the approval of survey requests that require participation of personnel in any DoD Component other than the sponsoring DoD Component.
 - (2) Develop standards and procedures to be used in the review and approval of survey instruments.
 - (3) Provide a depository, with a capability for ready reference, for results of surveys conducted by the DoD Components, other Federal Agencies, and the civilian

sector that may be of particular interest and usefulness to OSD. Where appropriate, obtain copies of the survey data for use by OSD.

(4) Provide consultative service in survey design and administration for any OSD staff element and designated survey offices of the DoD Components.

(5) Consolidate, at least annually, all Component-specific and DoD-wide survey plans and provide a report to USD(P&R).

(6) Convene the Inter-Service Survey Coordination Committee to facilitate survey coordination among the DoD Components. Membership shall consist of a representative from each of the Military Services, chaired by a representative from DMDC. The chair may request representation from other organizations to address specific agenda items. The Committee's responsibilities shall include fostering the development of effective survey programs among the DoD Components and minimizing respondent burden by eliminating unnecessary duplication. The Committee shall meet at least semi-annually or when called by the chair.

2. The Heads of the DoD Components shall:

a. Ensure that the Component responds to only those surveys that are conducted in accordance with this Instruction.

b. Designate one office as the point of contact for survey activities of that Component and provide name, address, and phone number to DMDC.

c. Coordinate survey plans with DMDC before the development of any survey instrument requiring review under this Instruction.

d. Evaluate, in accordance with DoD 8910.1-M (reference (c)), cost-to-benefit associated with a given survey request, and include that evaluation in requests for DoD internal or interagency survey approval.

e. Establish procedures to ensure conformity with this Instruction.

f. Upon request of the USD(P&R), furnish copies of data tapes, survey reports or results, as allowable within limits provided in DoD 5400.11-R (reference (d)). Maintain adequate tracking records to facilitate ready accessibility upon request.

g. Provide DMDC at least annually with Component-specific and DoD-wide survey plans.

F. PROCEDURES

1. Surveys Sponsored by the DoD Components. Surveys requiring participation of personnel in any DoD Component, other than the sponsoring Component, shall be submitted to the USD(P&R) for approval, in accordance with the procedures specified in Section E of DoD 8910.1-M (reference (c)).

a. All surveys covered by this Instruction (see section B., above) shall display either the appropriate Report Control Symbol (RCS) or other clearance number, or statement of exemption.

b. For surveys that are not exempt and that apply to only the sponsoring DoD Component, approval requirements shall be set by that Component but shall include at least approval by the Component's Reports Control Office as indicated by the issuance of a RCS.

c. In addition to DoD review and approval requirements, surveys conducted by any DoD Component, of members of the public, shall be submitted through WHS/DIOR to the Office of Management and Budget (OMB) for review and approval. Public information collections, including surveys, shall be developed and processed in accordance with the guidelines contained in Section C of reference (c).

d. In addition to DoD review and approval requirements, General Services Administration (GSA) review is required for all surveys administered to members of a Government Department or Agency other than the Department of Defense, following procedures outlined in Section D of reference (c). It should be noted these procedures do apply to:

(1) Surveys of Coast Guard personnel, except in time of war when they are organizationally part of the Department of Defense.

(2) Surveys of Federal Aviation Administration personnel, except in time of war when they become administratively attached to the Department of Defense.

2. Surveys Sponsored by a Government Department or Agency Other Than the Department of Defense

a. Requests for a DoD response to surveys sponsored by a Government Department or Federal Agency other than the Department of Defense shall be reviewed and cleared by GSA and coordinated with WHS/DIOR and the responding DoD Component (s). Interagency information collections, including surveys, shall be processed in accordance with the guidelines contained in Section D of reference (c).

b. A proposed interagency survey will be approved only after it has been demonstrated that:

- (1) It is compatible with the policies set forth in subsections D.2. and D.3., above.
- (2) It complies with DoD security standards where classified information is involved.
- (3) Administration of the survey will not interfere with the missions of the DoD activities involved.
- (4) The sponsor agrees to defray fiscal costs arising from the administration of the survey.

c. All interagency surveys imposed on DoD shall be coordinated with WHS/DIOR and the responding DoD Component(s) regardless of the number of DoD respondents.

3. Survey Requests from Nongovernmental Sources

- a. Requests for participation of DoD personnel or assistance in survey projects from nongovernmental sources will be subject to the provisions of this section.
- b. Response by DoD personnel to surveys addressed to them as private individuals without official participation of their DoD Component will, in general, be neither encouraged nor discouraged, except that replies are not authorized to questions asking for information that might include or be based on:
 - (1) Classified information, or
 - (2) Information derived from performance of official duties if the opinion or information is not available to the general public.
- c. Approval or permission for conducting or assisting in surveys requested by other than governmental sponsors is only to be given to surveys approved and licensed under subsection E.1. or paragraph F.1.b. above, as applicable. Approval or permission shall be based on:
 - (1) An identified DoD interest in the projected results of the survey.
 - (2) The protection of DoD personnel from unwarranted invasions of privacy.
 - (3) The propriety of extending recognition, special assistance, or privileges benefiting an individual or a commercial interest.
 - (4) Compatibility with subsections D.2. and D.3. above.

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(5) Confirmation that administering the survey shall not interfere with the missions of the DoD activities involved.

4. For each survey approved by the USD(P&R), a final copy of the survey form, instructions for administration, and survey reports shall be furnished to the Director, DMDC, for the depository.

G. EFFECTIVE DATE

This Instruction is effective immediately.



Edwin Dorn
Under Secretary of Defense for
Personnel and Readiness

Enclosure
Definitions

DEFINITIONS

1. Burden. The total time, effort, or financial resources required to respond to a collection of information.
2. Freedom of Information Act (FOIA) (reference (f)). FOIA is a disclosure statute designed to ensure an informed citizenry by shedding light on the Government's operations and activities. It establishes a right of any person to seek access to agency records. The agency must release the requested documentation unless one or more of nine statutory exemptions applies. Under current policy, even if one or more of these exemptions applies, the agency must identify a foreseeable harm from release before it may withhold the records.
3. General Purpose Statistics. Those collected chiefly for public and general government uses without primary reference to policy or program operations of the agency collecting the information.
4. Information Requirement. The functional area expression of need for data or information to carry out specified and authorized functions or management purposes that require the establishment or maintenance of forms and formats, or reporting or record-keeping systems, whether manual or automated.
5. Members of the Public. Members of the public are individuals, partnerships, associations, corporations (including operations of "whole concept contract" government owned contractor-operated facilities), business trusts, legal representatives, organized groups of individuals, states, territories, local governments, or components thereof.
6. Need. Some programmatic or policy necessity or requirement exists.
7. Privacy Act (reference (g)). The purpose of this Act is to provide certain safeguards for an individual against an invasion of personal privacy. It further permits an individual to prevent records pertaining to him or her obtained by an agency for a particular purpose from being used or made available for another purpose without his or her consent. Agencies engaged in surveys should pay particular attention to subsections (a) (4) (5) (6) and the requirements of subsections (b) (5), (e) (3) and section 7 of the Act.
8. Report. Data or information that are transmitted for use in determining policy, planning, controlling, and evaluating operations and performance; making administrative decisions or preparing other reports. The data or information may be graphic or in another form, and may be on paper, magnetic tapes, or other media. Both surveys and survey results are considered reports.

9. Reports Control Office. A reports management operation responsible for performing reports control tasks for a specified area of jurisdiction. There may be several Reports Control Offices in an Agency, depending upon organization size and reports volume.

10. Report Control Symbol (RCS). A standard agency designation of a report consisting of letters or numbers. It indicates that the report has been reviewed and approved by a reports control office.

11. Survey. Systematic data collection, using personal or telephonic interviews, or self-administered questionnaires, from a sample of ten or more persons as individuals or representatives of agencies. The questionnaires or interview protocols contain identical questions that elicit attitudes, opinions, behavior, and related demographic, social and economic data to be used for statistical compilations for research and/or policy assessment purposes.

12. Survey Results. Any compilation of data or information gathered through use of a survey.

13. Survey Sponsor. Can be any DoD Component that may benefit from or has a direct interest in the survey results. Sponsors may or may not fund survey projects but they are always responsible for survey content.

14. Unnecessary Duplication. The collection of information that is alike or corresponding to information that is already available to serve the agency's purpose or need.